

# The ComplySci Platform

## OVERVIEW

### The benefits of 360-degree employee risk management

#### Real-time Insights

- » Supervisor dashboards.
- » Employee dashboards.
- » Configurable reports.
- » Visual reports.

#### Infinite Scale

- » Localization for global teams.
- » Multi-level global workflows.
- » HR enterprise mapping integration.

#### Risk Surveillance

- » Analyze individual critical behaviors.
- » Modify compliance management workflows.

#### Intelligent Automation

- » Only monitor exceptions.
- » Eliminate the paper burden.
- » Incorporate new features as you scale and grow.

## The ComplySci Platform

Navigate complex regulatory challenges and safeguard your firm's reputation by proactively identifying and managing potential risks.

The ComplySci Platform is a comprehensive, mobile-responsive compliance software solution built for monitoring Code of Ethics requirements and tracking employee activities against rules and regulations.

### Monitor employee activities:

- » Personal trading.
- » Gifts and entertainment.
- » Political contributions.
- » Outside business affiliations.
- » Marketing materials.
- » IPOs.
- » Private placements.

### Administer, manage, and report on:

- » Certifications and attestations.
- » Preclearance requests.
- » Employee disclosures.
- » Compliance communications.
- » Conflicts of interest.
- » Material non-public information.

**"Working with ComplySci has been transformational in the way we administer our compliance program. We reduced the time we were dedicating to a manual review of brokerage statements by an order of magnitude."**

*Alternative asset management firm chief compliance and chief financial officer*



"Since working with ComplySci we've seen a 66% reduction in time spent monitoring Code of Ethics, a five times faster employee preclearance process and during a time of growth for our firm, we were able to save 2 FTE during onboarding."

Hedge fund chief compliance officer

# The ComplySci difference

## 200+ direct broker feeds

With integrated electronic broker feeds from more than 200 sources and a robust data normalization process, ComplySci provides unrivaled accuracy and dependability.

## Mobile first architecture

Users can access the full range of ComplySci functionality from a mobile device, tablet or desktop.

## Award-winning customer service

Our dedication to service and extensive industry knowledge allows the ComplySci team to provide our clients with the highest levels of customer support.

## Data entry service

While ComplySci delivers an unparalleled number of direct broker feeds, some brokers do not have these delivery capabilities. To manage the information from these brokers, ComplySci offers a white-glove, data entry service.

## Additional modules

ComplySci's additional modules further enhance your compliance program:

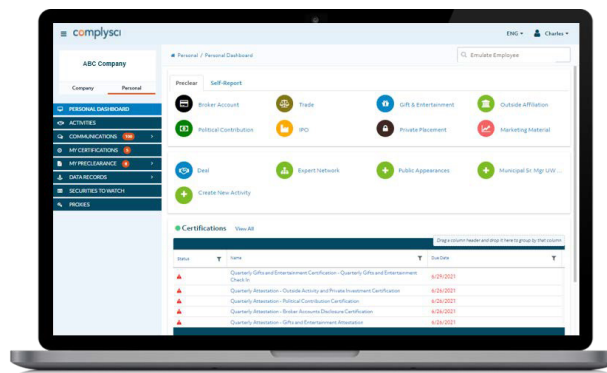
- » Conflict Check
- » Compliance Program Management
- » Political Contributions Verification
- » Open Preclearance
- » Control Room
- » SM&CR

## Extensive integration capabilities

Leverage single sign on (SSO), FTP uploads, or direct APIs to integrate ComplySci with other platforms and systems.

## Customer advisory board

Through both our client advisory board and regular business reviews with our customers, we solicit feedback about how our technology can best evolve with the industry and our client's needs.



## Unlock the value of your compliance data

At COMPLY, we pride ourselves on being the champion for compliance professionals and the meticulous, detail-oriented perfectionists who make up their teams. Our portfolio of firms includes ComplySci, RIA in a Box, National Regulatory Service (NRS) and illumis. Our customers, which include some of the world's largest financial institutions, enjoy access to our full suite of industry-leading governance, risk, and compliance (GRC) consulting, technology, managed services, analytics and outsourcing solutions.

We pride ourselves on being an extension of our clients, driving effective compliance programs with precision and accuracy. Learn more at COMPLY.com.

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ComplySci.com  
(1) 212-327-1533